

200 General Office Administration and Personnel Management Files (NC1-330-77-4) . These files contain the documents necessary to perform the administrative functions of the OSD. They are generally associated with the Director of Administration and Management, Office of the Secretary of Defense or **the** Director, Washington Headquarters Services.

Transfer all permanent records of this series to the National Archives when 30 years old unless otherwise indicated or needed for Agency purpose.

201 Organization Planning Files. These files relate to the establishment of **organizations** and their functional relationships. "

201-01 Organization Planning Files. Documents on the establishment of and changes in organizational functions and relationships of activities and agencies, when such action affects Department of Defense. Included are reports of working groups, minutes of committee meetings and staff conferences; documents on overall functions and missions, copies of organizations and functions plans, manuals and charts; copies of published Directives implementing establishment or change; and related or similar documents.

Disposition: Permanent. Cut off annually except that plans, charts, and manuals or portions thereof **wil** 1 not be cut off until superseded or rescinded. Hold 2 years, retire to the **WNRC** .

201-02 Organizational Structure. Documents, charts, publications, and backup on the OSD organizational structure.

Disposition: Permanent. Retire to the **WNRC** 5 years after being superseded. Transfer to the National Archives when 25 years old.

201-03 Organization Activation and Status Change Files. Documents on constituting, reconstituting, organizing, converting, consolidating, assigning, locating, and affiliating offices or agencies of the OSD.

Disposition: Permanent. Cut off annually or on discontinuance or related offices as applicable; hold 1 year in current files (**CFA**) , then retire to the **WNRC**. Included are requests for publications, implementing instructions, copies of affiliation agreements, coordination actions, and similar or related documents.

201-04 Management Practices. Papers, charts, diagrams, policy on management practices; theory techniques, case studies, and the like to develop and improve management practices.

Disposition: Permanent. Cut off annually, hold 3 years in CFA, and retire to the **WNRC**.

201-05 Management Survey Case Files. Documents **on** the systematic formal review of organizational structure **or** operational procedures and accumulated in the office conducting the **survey** or the office sponsoring a contract for **survey** services. Individual studies and surveys may range in scope from comprehensive review of organization and all operating procedures to a study of one particular procedure, process, or method of a particular phase of management. Included are documents reflecting request **or authorization** to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.

Disposition: a. Comprehensive surveys. Office conducting the survey or office sponsoring the contract: Permanent. Retire to the **WNRC** 3 years after supersession. b. Others: Retire to the **WNRC** on completion of project. Destroy when 20 years old. c. Off ice **surveyed:** Destroy on completion of next comparable **survey**, or when no longer required for reference.

201-06 Management **Survey** Background Files. Documents used in the collection of data for or during a management survey and accumulated in offices conducting or participation in the survey. Included are notes, statistical data, **copies** of **standing** operating procedures, organizational charts, functional charts, personnel data, and similar material collected for fact finding - or backup purposes and documents reflecting preliminary arrangements incidental to specific **surveys**.

Disposition: Destroy when no longer required for reference.

201-07 Management Improvement Files. **(NC1-330-86-3)**

1. Management Improvement Pro j ect Files. Documents on projects that result in initiation of changes in the manner or method of planning, directing, controlling, or doing work that results in increased **ef** festiveness, efficiency, and economy. Included are studies, charts, coordination papers, recommendations, statistical data, and comparable or similar documents.

Disposition: Cut off on completion of project. Retire to the **WNRC**. Destroy 4 years after cut off.

2. Internal Management Control Program. Documents on the administration and control of the Internal Management Control

(**IMC**) **Program** in the OSD.

Disposition: a. Lists of assessable Units, management evaluation plans. Destroy when superseded. b. Vulnerability assessments. Cutoff (**COFF**) at end of Internal Management Control (**IMC**) cycle (**the** current IMC cycle is 2 years) , destroy after 4 **years**. c. Internal control reviews, semi-annual reports, annual reports. COFF when final corrective action completed. DEST 4 years thereafter. d. Annual Statements of Assurance submitted to the President and the Congress by OC, DoD Management Systems Director of Management Improvement (**MS-DMI**) , including backup materials. Hold until final corrective action taken; retire to the WNRC; transfer **to** the National Archives 20 years thereafter.

201-08 Management Improvement Project Background Files. Documents used as background material in developing and completing management improvement projects. Included are analyses, notes, drafts, interim reports, and data used but not included in the official project file.

Disposition: Destroy 3 years after completion of related project or on discontinuance, whichever is first.

201-09 Work Simplification Proposal Files. Documents on the analysis of specific work procedures to simplify and improve them. Included are proposals for improvement, work distribution charts, flow process charts, work counts, motion **economy studies** , layout studies, actions taken on proposals, and **similar** documents.

Disposition: Cut off when final action has been taken on proposal. Retire to the **WNRC**. Destroy 25 years after cut off.

201-10 Committee Management Files. Documents used in exercising control over the establishment, use, and dissolution of committees. Included are proposals, approvals, and disapprovals to establish, continue or dissolve committees; charters, terms of reference, and agreements; copies of directives authorizing the establishment of committees and comments on them: **documents** used to nominate , **approve** , **appoint** , and relieve members. Minutes, final reports, and related papers. Office of committee management officer.

Disposition: Permanent. Cut off on disapproval or dissolution of the committee. Retire to the WNRC.

201-11 Advisory Committee Activity Reporting Files. Documents reflecting name, date established or approved for continuation, function, names and affiliations of members, dates

of meetings **held**, and similar data on each advisory committee. Included are feeder reports, DoD-wide consolidations or summaries, and papers directly related to them.

Disposition: a. Office requiring the report: DoD-wide summaries or consolidations: Permanent. Retire to the **WNRC** when 5 years old. b. Feeder Reports: Destroy when 2 years old.

201-12 Federal and State Relations Files. Documents on Federal and State agreements, legal relationships, cooperation emergency support, and real estate.

Disposition: Permanent. Retire to the **WNRC** 5 years after **cancelled** or superseded. Backup material may be destroyed when canceled or superseded.

201-13 **Emergency Planning Files.** Documents that describe evacuation, relocation, vital records program, and continuity of operation, personnel assignments and related procedures (see 203-14). (Function transferred to OUSD (Policy.)

Disposition: Permanent. Retire to the **WNRC** 3 years after cancellation or on supersession.

201-14 Staffing **Surveys** and Studies **Files.** Results, recommendations, charts, and papers on staffing **surveys** and studies within the OSD. These generally result from new functional requirements requiring new staffing and include both civilian and military.

Disposition: Destroy in CFA when 5 years old .

201-15 Administrative Guidance Instruction Files. Documents on AIs, backup, previous issues, notes, and related papers.

Disposition: Retire to the **WNRC** 5 years after superseded or obsolete. Destroy when 20 years old.

201-16 Administrative Services and Facilities Files. Documents on space, logistical **services** (telephone and supplies) layout, furnishings, building plans and services.

Disposition: Destroy 5 years after no longer current.

201-17 Organization Charter Files. Organizational Charter and Delegations of Authority. Documents that authorize and define the scope of authority, primary functions, and organizational relationships within the DoD offices or special committees.

Disposition: Permanent. Retire record copies to the **WNRC** 1

year after no longer current. Destroy duplicate copies when no longer needed.

201-18 Congressional Correspondence - See section 102-18 for proper disposition.

201-19 Chronological Reading Files - See section 102-16 for proper disposition.

202 Office Personnel Files. The files described in this subgroup are maintained by operating officials and are used in administering military and civilian employees of the organizational segments that are under **their** control.

202-01 General Personnel Administrative Files.

1. Files on the general administration and operation of personnel functions and including college programs, selective placement programs (handicapped, veterans, and ex-offenders) programs, special careers (**Summer** Aid, Intergovernmental Affairs Fellowship, and Stay-in-School), **examinations**, paid recruitment advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere in this schedule, excluding those at agency staff planning levels.

Disposition: Destroy when 3 years old.

2. Correspondence, reports, memoranda, and other records on-employment programs and functions, and manpower management and evaluation, including experts and consultants, overseas employment, reemployment rights, employee transfer and detail, and excepted positions.

Disposition: Destroy when 5 years old.

202-02 Office Personnel Register Files. Documents used in accounting for office personnel and in controlling office visitors, such as registers reflecting personnel arrival, departure, on leave and temporary duty travel, but not official personnel registers used as direct source documents for preparing morning reports.

Disposition: Destroy after 6 months. Earlier disposal is authorized.

202-03 **Reserved.**

202-04 Strength Reports. Reports that provide information on strength authorizations and employment. See sections 202-23 and 202-25.3.

202-05 Position Classification Files.

1. Position Classification Files.

a. Standards. Office of Personnel Management (**OPM**) standards determining title, series and grade based on duties, responsibilities, and qualifications requirements.

Disposition: Destroy when superseded or obsolete (GRS 1, Item 7) (reference (p)).

b. Development. Memoranda, correspondence, and other records on the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.

(1) Case File.

Disposition: Destroy 5 years after position is abolished or description is superseded.

(2) Review **File**.

Disposition: Destroy when 2 years old.

2. Position Descriptions (PD). Files describing established positions including information on title, series, **grade**, duties and responsibilities.

a. Record copy.

Disposition: Destroy 2 years after position is abolished or description superseded. -

b. All other copies.

Disposition: Destroy when position is abolished or description superseded.

3. Survey Files. Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports such as the **Annual** Written Amendment and Annual Supergrade Position Reports.

a. Office of origin.

Disposition: Destroy when 3 years old or 2 years after regular inspection, whichever is sooner (GRS 1, Item 7(C) (1)) (reference (p)).

b. Inspection, Audit and Survey Files. Correspondence, memoranda, reports and other records on inspections, surveys, desk audits, and evaluations. -

Disposition: Destroy when obsolete or superseded (GRS 1, Item 7(C)(2)) (reference (p)).

4. Appeals Files. Case files on classification appeals.

Disposition: Destroy 3 years after case is closed (See GRS 1, Item 7(d)(1)(2)) (reference (p)).

202-06 Pending Request Files: Suspense copies of standard Form 52 (Request for Personnel Action) for various categories of civilian personnel actions, such as accessions, position changes, rate of pay changes, and separations.

Disposition: Destroy on receipt of notification of completion of requested personnel action.

202-07 Office Personnel Information Files. Documents on the administration of individual civilian employees and military personnel that are duplicated in, or that are not appropriate for including in the official personnel folder (OPF), the personnel records jacket, the PD file, or the pending request file. Included are notices that individuals have been cleared for classified material, other documents on personnel security, retained copies of reports and other papers on individual injuries, letters of appreciation and commendation, records reflecting training received by individuals, documents reflecting assigned responsibilities of individuals, copies of performance appraisals, off-duty employment information and comparable papers.

Disposition: Review at end of year and destroy documents that have been superseded or are no longer applicable.

202-08 Recruitment and Placement Files

1. Documents on employees considered for vacancies, interviews, qualification summaries, notices of eligibility, and related material.

Disposition: Destroy after 2 years old or after OPM inspection, whichever is first.

2. Correspondence offering appointments to potential employees.

a. Accepted offers.

Disposition: Destroy immediately (GRS 1, Item 4a) (reference (p)).

b. Declined offers. -

(1) When name is received from certificate of eligibles.

Disposition: Return to OPM with reply and application. (GRS 1, Item 4(b)(1)) (reference (P)).

(2) Temporary or excepted appointment.

Disposition: File inside application (GRS 1, Item 4(b)(2)) (reference (p)).

(3) All others.

Disposition: Destroy immediately (GRS 1, Item 4(b)(3)) (reference (p)).

3. Recruitment and Placement Files (**N1-330-87-1**). Applications for positions within Department of Defense Dependent Schools (**DoDDS**). All forms and materials required for the U.S. recruitment program and for local-hire programs, including **interview** results, offer letters, acceptance letters, and declination letters.

Disposition: Selectees, transfer to Official Personnel Folder (**OPPF**); consideration declinations, destroy 2 months after annual cut off date (1 December) ; all others, destroy 2 months after **annual** cut off, unless applicant has indicated continued interest in the program (by the established deadline), in which the case file is brought forward (may be returned to applicant if requested by the deadline) .

202-09 Standards of Conduct Files. Documents on procedures to ensure that all personnel fully understand the standards of conduct and ethics. For example, procedures requiring that each individual periodically read applicable directives and sign a **document** indicating that the directives are understood.

Disposition: Destroy after the next periodic application or on inactivation of the office, whichever is first.

202-10 Nondisclosure Agreement and Security Awareness Files.

1. Copies of nondisclosure agreements, such as SF 312,

Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files but may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the off **icial** personnel folder (for civilian employees) .

Disposition: a. If maintained separately from the individual's off **icial** personnel folder, destroy when 50 years old. b. If maintained in the individual's official personnel folder, apply the disposition for **the** off **icial** personnel folder, or destroy' when 50 years old, **whichever** is later (GRS 18, Item 25) (reference (p)) .

2. Security Awareness Files. Documents on procedures used to obtain compliance with security regulations by all personnel. For example, procedures requiring that each individual periodically read applicable security regulations and sign a memorandum indicating that the regulations are understood.

Disposition: Destroy after the next periodic application or on inactivation of the office, whichever is first.

202-31 Temporary Duty Travel Files. Copies or requests and authorizations for military personnel TDY travel and civil i an personnel TDY and PCS travel,, similar issuances, and related documents on travel.

Disposition: Destroy after 3 years or on discontinuance, whichever is first.

202-12 Official Personnel Folders. Records filed on the right side of the OPF (See GRS 1, Item 10, for disposal of papers on the left or "temporary"^{tt} side of the OPF) (reference (p)) .

1. Transferred employees.

Disposition: See Page Federal Personnel Manual for Supplement 293-31, Subchapter S4 for instructions on folders of employees trans f erred to another agency (GRS 1, Item 1) (reference (p)) .

2. Separated employees.

Disposition: Transfer folder to: National Archives and Records Administration, National Personnel Records Center (NPRC) , 111 Winnebago Street, St. Louis, Missouri, 63118, 30-120 days

after separation. NPRC will destroy 65 years after separation from the Federal service.

202-13 Survey Files. Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports such as Annual Written Amendment Report and the Annual Supergrade Position Report.

Disposition: See 202-05.3.

202-14 Application Files (SF 171). Unsuccessful applications for appointment and related papers, excluding records on appointments requiring Senatorial confirmation, and applications filed in official personnel folders. File in accordance with inspection requirements of the Federal Personnel Manual. .

Disposition: Destroy upon receipt of OPM report of inspection or when 2 years old, whichever is earlier, providing requirements of Chapter 33, Section A-4 of the Federal Personnel Manual are **observed** (GRS 1, Item 15) (reference **(p)**).

202-15 Correspondence Files

1. Correspondence in Personnel and Security (**P&S**) on its administration and operation.

Disposition: Dispose of 3 years after file cutoff (GRS 1, Item 3) (reference **(p)**).

2. All copies of correspondence and forms maintained as temporary records on the left side of the OPF in accordance with the Federal Personnel Manual, Chapter 293, and Supplement 293-31 (reference **(s)**).

Disposition: Destroy on transfer to another agency (except in a transfer of functions) or separation of the employee.

3. Correspondence and forms in P&S relating to individual employees that are not authorized for maintenance in the OPF and not covered elsewhere in this schedule.

a. Correspondence and forms on pending personnel actions.

Disposition: Destroy when action is completed (GRS 1, Item 17(b)(1)) (reference **(p)**).

b. General correspondence and forms including retention registers from which reduction-in-force actions have been taken.

Disposition: Destroy 2 years after file is closed (GRS 1, Item 17(b)(1)) (reference-(p)).

c. Retention registers from which no actions have been taken.

Disposition: Destroy when superseded (GRS 1, Item 17(b) (2)) (reference (p)).

202-16 Service Record Card Files. (Standard Form 7 or its equivalent) .

1. Cards for employees separated on or before Dec. 31, 1947. "

Disposition: Transfer to NPRC (**CPR**) St. Louis, Mo; destroy 60 years after earliest personnel action (GRS 1, Item 2(a)) (reference (p)).

2. Cards for employees separated or transferred on or after January 1, 1948, in accordance with Federal Personnel Manual Supplement 293-31 (reference (s)).

Disposition: Destroy 3 years after year of **employee's** separation or transfer to another agency (GRS 1, Item 2(b)) (reference (p)).

202-17 Reserved.

202-18 **PDS** and Related Material Files. (GRS 1, Item 7, Jun 88) (reference (p)).

1. Record copy of position descriptions that include information on title, series, grade, **duties**, responsibilities, and related documents.

Disposition: Destroy 2 years after position is abolished or description superseded (GRS 1, Item 7(b)) (reference (p)).

2. Survey Files.

Disposition: See 202-05.

3. Appeals files. Case files on classification appeals.

Disposition: Destroy 3 years after case is closed (GRS 1, Item 7(d)(1)) (reference (p)).

202-19 Certificate of Eligibility Files.

1. Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Disposition: Destroy when 2 years old (GRS 1, Item 5) (reference (p)).

2. Certificate of Eligibility Files (**NC1** 330-87-1) Case files on educators in the **DoDDS** system including certificates of **DoDDS** certification, college transcripts, other supporting documents. Also included are correspondence and memos and other material on each teacher.

Disposition: **Destroy 1 year after** educator no longer employed **by** the **DoDDS**. Educators participating in the **DoDDS** Administrative Reemployment Rights (**ARR**) program, hold until return to active employment, then consolidate with active files for that year. .

202-20 Suggestion and Superior Accomplishment Awards Files.

1. Employee suggestion case files including files on management improvement suggestions considered under various legislation.

Disposition: Retire 1 year after cutoff for retention of (a) **the** original case file for an additional 5 years, and (b) the duplicate copies for an additional 2 years.

2. Case files on rewards for superior accomplishments. -

Disposition: Destroy 6 months after file cutoff. cut off file annually.

3. **Certificates** of performance ratings.

Disposition: Destroy 2 years after cutoff.

202-21 Efficiency Rating Files. Duplicate copies of material on a review of an efficiency rating by a board on which the original case material has been forwarded to the OPM.

Disposition: Cut off annually. Destroy 1 year after file cutoff .

202-22 Notification of Personnel Action Files.

1. Chronological file copies of notification of personnel actions, including fact sheets.

Disposition: Destroy 2 when years old (GRS 1, Item 14(a) and Federal Personnel Manual Supplement 293-3 1) (reference (p) & (reference (s)) .

2. Pay or fiscal copy.

Disposition: Destroy 2 years after audit of related pay records by the General Accounting Office (GAO) .

3. All others.

Disposition: Destroy when 1 year old, providing the **requirements** of Federal Personnel Manual Supplement 293-31 (reference (s)) are observed.

4. **DoDDS** Inter-Intraregional and/or Transfer and Reassignment File (NC1-33 O-87-1) Applications, reports, memos, correspondence on the reassignment of personnel between and among regions through the DoDDS **Interregional** Transfer and/or **Intra-regional** Reassignment Programs.

Disposition: Cut off annually. Destroy 1 year after cut off.

5. Educator Career Program. Applications, reports, memos, correspondence on the lateral transfer and opportunities for promotion of **DoDDS** personnel afforded by the **DoDDS** Educator Career Program.

Disposition: Cut off annually. Destroy 1 year after cut off.

202-23 Personnel Statistical Reports Files.

1. Statistical reports maintained or prepared by offices other than P&S.

Disposition: Destroy 2 years after cutoff.

2. Statistical summaries and reports on employee health and related papers, exclusive of the copy maintained by the reporting unit.

Disposition: Destroy 2 years after cutoff.

202-24 Policy and Procedure Record Material Files
Documentation of policies, procedures, and standards governing civilian personnel administration.

Disposition: Permanent. Retire file to the **WNRC** 1 year after file cutoff. Transfer to National Archives when 25 years old.

202-25 Civilian Manpower and Personnel Records Files

1. Records that relate to the development and implementation of policies, procedures, and standards for civilian personnel management and studies, surveys or other material that relate to National Manpower Administration that is of interest to the Department of Defense.

Disposition: Permanent. Retire record copies and all backup material to the **WNRC** 1 year after implementation of the policy, procedures or standards. Transfer to the National **Archives** after 20 years. **Destroy duplicate** and reproduced copies when the policy, standard, or procedure is rescinded or revised, unless part of a case **file**.

2. Records ~~that~~ relate to the internal management and operational aspects of civilian personnel administration, such as records on the control of positions, determinations, and justifications of personnel authorizations and requirements, controls to ensure that authorizations are not exceeded, and reporting records covering civilian personnel strength not covered under other items in this section.

Disposition: Destroy when 5 years old.

3. Records that support reports and other statistical data required by law or regulation such as percentages or minorities, statistics or progress achieved in implementation of EEO program, grade distribution and the like.

Disposition: Permanent. Retire record copies supporting related data to the **WNRC** 2 years after file cutoff. Transfer to National Archives after 20 years old. Destroy **all** duplicate and nonrecord material 6 months after file cutoff unless part of case file.

202-26 Department of Defense Civilian Employees Health Unit and Employee Medical Folder (**EMF**) Records.

1. Health Unit Records. These records contain forms, correspondence, and other records on an employee's medical history, occupational injuries or diseases, physical examinations, and all other treatment received in health units. Included are industrial hygiene consultations, laboratory and X-ray findings, reports of pulmonary function tests, **audiograms**, records tests, and chemical hazards, clinical record cover sheets or equivalent.

Disposition: Retire records of civilian employees who are separated from the National Personnel Records at the end of each **calendar** year. Destroy 30 years later (See Note 3).

NC1-330-81-7

Notes:

1. These records are not to be confused with hospital **in-** and out- patient clinical records retained for 75 years after birthdate-for nonmilitary persons pursuant to other approved records control schedules.

2. Original pre-employment, disability retirement, and fitness for duty **examinations** are-to be filed in the Official Personnel Folder upon separation of the employee (FPM Supplement 293-31) (reference (s)).

3. Longer retention periods may be required by Regulatory Agencies such as: Occupational Safety and Health Administration (**OSHA**), Nuclear Regulatory Commission (**CFR** Title 10, Part 20) (reference (r)), and Environmental Protection Agency (EPA). In this event, a new SF-115 must be submitted.

4. Employee Medical Folders (GRS 1, Item 21) (reference (p)). These files consist of long-term medical records as defined in the Federal Personnel Manual 293-31 (reference (s)).

Disposition: a. For transferred employees, see the FPM for instructions. b. For separated employees, transfer to the National Personnel Records Center 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is latest. c. Temporary or short-term records as defined in the FPM, destroy 1 year after separation or transfer of the employee. d. Individual Employee Health Case Files created before establishment of the EMF system that have been retired to an FRC, destroy 60 years after retirement (GRS 1, Item 21, Jun 88) (reference (p)).

202-27 Military Personnel. Official Military Personnel Records created as the result of detail or assignment to the OSD that normally would be made a part of the individual's personnel file and other pertinent and related correspondence. Orders and citations for the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint Service Commendation Medal, and OSD Identification Badge.

Disposition: Records maintained by the Service Representatives in OSD Military Personnel are considered **unit-** level files for the **Service** Elements and are maintained in accordance with the appropriate **Service** regulations.

202-28 Military Manpower and Personnel Records Files.

1. Records on the development and implementation of policies, procedures, and standards for military personnel management and studies, surveys, or other material that relate to National Manpower Administration that is of interest to **the** Department of Defense.

Disposition: Permanent. Cut off and retire to the **WNRC** when superseded or obsolete as appropriate for documents maintained in **accordance** with **series** 103-01.

2* OSD manpower authorizations, justification folders for new positions or deletions; control over grade requirements. (These are not individual personnel files.)

Disposition: Retire to the **WNRC** 1 year **after** no longer current. Destroy when 30 years old.

3. Policy matters on the OSD Identification Badge.

Disposition: Destroy 3 years after supersession.

4. Records that relate to the internal management and operational aspects or military personnel administration, such as records on position control; determinations and justifications of personnel authorizations and requirements, controls to ensure that authorizations are not exceeded; and other reporting records covering military personnel strengths that are not covered under other items in this AI.

Disposition: Retire record copies to the **WNRC** 1 year after cutoff. Destroy when 25 years old. Destroy duplicate and nonrecord material 6 months after cutoff unless part of a case file.

5. Records that support reports and other statistical data required by law or regulation.

Disposition: a. Permanent. Retire record copies and supporting or relating data to the **WNRC** 2 years **after** cutoff. Transfer to the National Archives when 20 years old.
b. Destroy duplicate and **nonrecord** material 6 months after cutoff.

202-29 Individual Accounting **Files**. Records that **relate** to accounting for individuals.

Disposition: Destroy individual leave authorization when adjustments are made.

202-30 Military Leave Files. Records that relate to leave of military personnel.

Disposition: Records maintained by the Service Representatives in OSD Military Personnel are considered **unit-** level files for the Service Elements and maintained in accordance with the appropriate Service regulations.

202-31 Individual Actions Files. Correspondence on individual actions about personnel, that do not qualify as records of permanent-value; **records** of criticism or complaint when no official action is taken.

Disposition: Destroy file 6 months after individual is released from OSD duty.

202-32 Statistical Reports File

1. Statistical reports maintained or prepared by offices other than P&S on military personnel matters.

Disposition: Destroy when 2 years old.

2. Records submitted by the Military Departments supporting reports, policy statements, standardized procedures, criteria, and other matters on the overall administration of military personnel.

Disposition: Permanent. Retire to the **WNRC** when 5 years old .

202-33 **Policy** and Procedure Records Files - Military Personnel

1. Statistical summaries and reports on military personnel training, including outlines of the course, names of individuals attending, copies of speeches, lecture material, required reading material and all other material relating to educational programs conducted by the OSD independently of the Military Departments.

Disposition: Permanent. Statistical summaries and reports. - transfer record copies to the **WNRC** when course is revised or discontinued. Transfer to National Archives when 20 years old. Destroy other materials when it becomes obsolete.

2. Documentation of policies, procedures and standards governing military personnel administration, including position evaluation and assignment, and military personnel quotas for both **normal** and mobilization periods.

Disposition: Permanent. Transfer discontinued file to the WNRC when 1 **year old**. Transfer to the National Archives when 20 years old. Destroy duplicate copies when superseded or revised **unless** part of a case **file**.

202-34 Internal Management Files. Correspondence on internal management and operations affecting military personnel administration.

Disposition: Destroy material when 5 years.

202-35 Military Awards. Official record copies of awards approved by the Secretary of Defense for presentations **such as** the Defense Distinguished **Service Medal**, Joint **Service** Commendation Medal, and comparable awards.

Disposition: Retire OSD official documents to the **WNRC** 3 years after cutoff. Destroy when 15 years old. See paragraph ,202-28 for disposition of copies of awards to individual **Military** Services.

202-36 Military Acceptance Files. Records on the establishment of policy, standards, and criteria governing admission and acceptance for military service and **means** of obtaining individuals in critical skills areas, including pay benefits, allowance, and other associated matters.

Disposition: Permanent. Retire to the **WNRC** 2 years after file cutoff. Transfer to National Archives when 20 years old. Destroy duplicate and **nonrecord** material 6 months after cutoff.

202-37 Labor Management Relations Records

1. Labor Management Relations and Case Files. Correspondence, memoranda, reports, and other records on the relationship between management and employee unions or other groups.

a. Office negotiating agreement.

Disposition: Destroy when 5 years old (**GRS** 1, Item 28(a)(1)) (reference (p)).

b. Other offices.

Disposition: Destroy when superseded or obsolete (**GRS** 1, Item 28(a)(2)) (reference (p)).

2. Labor Arbitration General and Case Files.
Correspondence, forms, and background papers on labor arbitration cases.

Disposition: Destroy 5 years after resolution of case (GRS 1, Item 28(b)) (reference (p)).

202-38 Labor Management Relations Files. See Series 1802-02 for the DoD files on the subject.

202-39 Security Policies Application. Documents concerning general information applicable to personnel security. Security of classified matter in the **personnel** office and related material.

Disposition: Destroy when no longer current.

202-40 Personnel Security Clearance Files. Relates to the administration of the personnel security program involving clearances of civilian employees, applicants for employment, consultants, contractors and military personnel.

a. Case files created on civilian personnel, consultants, and applicants for employment, containing requests for security clearances, copies of documents accumulated as a result of creating, controlling, requesting and transmitting investigative dossiers and clearance certifications between various investigative and clearance-granting agencies, briefings/debriefings, routine requests for information, tracer letters, transmittal letters, lists **or** letters reflecting **security** clearance of individuals.

Disposition: Inactivate **file** when employee leaves the agency; retain in files storage area and destroy after 2 years.

b. Summaries of reports of investigation relating to cases where serious derogatory information is involved, including documents reflecting actions taken and copies of documents similar to those described in a. above.

Disposition: Retain in files storage area and destroy 5 years after date of clearance determination.

c. Case files created on individuals for whom **WHS** has no clearance granting authority, i.e. , military and contractor personnel, containing letters **of** transmittal, miscellaneous **correspondence**, verification of clearances granted by the appropriate military department or Defense Industrial Security Clearance Office, briefings/debriefings.

Disposition: Destroy military personnel case files when individual leaves WHS. Destroy contractor case files when notification of Sensitive Compartmented Information (**SCI**) access approval by Defense Intelligence Agency. (Investigative reports will be destroyed in accordance with regulations established by each investigative agency.)

202-42 Special Assignments. Documents containing information on the security clearance and authorization for access to particularly sensitive classified matter. Not including reports of investigation, counterintelligence, or clearance documents filed in the official personnel folder.

Disposition: Destroy on transfer or separation of individual concerned.

202-42 Statement-s of employment and financial interests, and related papers.

Disposition: Destroy 2 years after employee leaves a position in which a statement is required, or 2 years after the employee **leaves** the agency, whichever is earlier.

202-43 Equal Employment Opportunity Records. Official Discrimination Complaint Case Files. Office of the Secretary of Defense OSD file containing complaints with related correspondence, reports exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described by 29 **CFR** 1613.222 (reference (t)).

1. Cases resolved within the agency by the Equal Employment Opportunity Commission (EEOC), or by a U.S. Court.

Disposition: Destroy 4 years after resolution of case (GRS 1, Item 25a) (reference (p)).

2. Copies of Complaint Case Files. Duplicate case files or documents on case files retained in Official File Discrimination Complaint Case File.

Disposition: Destroy 1 year after resolution of case.

3. Background Files. Background records not **filed** in the Official Discrimination Complaint Case File. (See **GRS**)

Disposition: Destroy 2 years after final resolution of case.

4. Compliance Records

a. Compliance Review Files.

Disposition: Destroy when 7 years old. Reviews, background papers and correspondence on contractor employment practices.

b. EEO Compliance Reports.

Disposition: Destroy when 3 years old.

5. Employee Housing Requests. Forms requesting agency assistance in housing matters, such as rental or purchase.

Disposition: Destroy when 1 year old.

6. Employment **Statistics** Files. Employment statistics relating **to** race and sex.

Disposition: Destroy when 5 years old.

7. EEO General Files. General correspondence and copies of regulations with related records on the Civil Rights Act of 1964 and the EEO Act of 1972, and any pertinent future legislation; and agency EEO committee meetings and records including minutes and **reports**.

Disposition: Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

8. EEO Affirmative Action Plans (**AAP**).

a. Agency copy of consolidated AAP(s).

Disposition: Destroy 5 years from date of plan.

b. Agency feeder plan to consolidated AAP(s).

Disposition: Destroy 5 years from date of feeder **plan** or when administrative purposes have been served, **whichever** is sooner.

202-44 Personnel Injury Files. Correspondence and related investigatory records on-the-job injuries whether or not a claim **for** compensation was made; excluding copies filed in the OPF, and copies submitted to the Department of Labor.

Disposition: Destroy when 3 after cut off (GRS 1, Item 31) (**reference** (p)).

202-45 Employee Awards Files.

1. General awards records.

a. Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to agencies sponsored cash and noncash awards such as incentive awards, within grade merit increases, suggestions, and outstanding performance.

Disposition: Destroy 2 years after approval or disapproval (GRS 1, Item 10) (reference (P)).

b. Correspondence of memoranda on awards from other Government agencies or private organizations.

Disposition: **Destroy** when 2 years old.

c. Lists or indexes to agency award nominations. List of nominees and winners, and indexes of nominations.

Disposition: Destroy when superseded or obsolete.

d. Military Awards (**NC1-330-77-17**). Awards approved by the Secretary of Defense for presentation, such as the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint **Service** Commendation Medal, the OSD Identification Badge, or other comparable awards sponsored by the OSD.

Disposition: Retire to the **WNRC** 3 years after cutoff. Destroy when 15 years old. See section 202-27 for disposition of **copies** of awards to individual Military Services. Record copies - are maintained in the individual's military personnel jacket.

202-46 Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices.

1. Supervisor's Personnel Files. Correspondence, memoranda, forms, and other records on positions, **authorizations**, pending actions; copies of PDs, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

Disposition: Review annually and destroy superseded or obsolete documents, or destroy all documents on an individual employee 1 year after separation or transfer (GRS 1, Item 18(a)(b)) (reference (p)).

2. Duplicate Documentation. Other copies of documents duplicated in OPFS not provided for elsewhere in this schedule.

Disposition: Destroy when 6 months old.

202-47 Personnel Counseling Records. These files consist of counseling files, reports of **interviews**, analyses, and related records. (For records pertaining to coordinating, planning, and directing the Federal Workplace Drug Free Testing Program, see 202-51.)

Disposition: Destroy 3 years after termination of counseling (**GRS** 1, Item 26 (a)) (reference (p)) .

202-48 Training Records

1. Training Aids.

a. " **One** copy **of** each manual, **syllabus**, **textbook**, and other' training aids developed by the agency.

Disposition: Permanent. Retire to the WNRC when course is revised or discontinued.

b. Training aids from other agencies or private institutions.

Disposition: Destroy when obsolete or superseded.

2. General file of agency-sponsored training.

a. Correspondence, memoranda, agreements, authorizations reports, requirement reviews, plans, and objectives on **the** establishment and operation of training courses and conferences. -

Disposition: Destroy when 5 years old or 5 years after completion of a specific training program (**GRS** 1, Item **29** (a) (1)) (reference (p)) .

b. Background and workpapers.

Disposition: Destroy when 3 years old (**GRS** 1, Item 29(a) (2)) (reference (p)) .

3. Employee training. Correspondence, memoranda, reports, and other records on the availability of training and employee participation in training programs sponsored by other Government Agencies or non-government institutions.

Disposition: Destroy when 5 years old or when superseded or obsolete, whichever **is** sooner (**GRS** 1, Item 29 (b)) (reference (P)) .

4. Course Announcement Files. Reference file of pamphlets,

notices, catalogs and other records that provide information on courses or programs offered by Government or non-government organizations.

Disposition: Destroy when superseded or obsolete.

202-49 Grievance, Disciplinary, and Adverse Action Files

1. Grievance, Appeals Files (5 CFR 771) (reference (u)). Records originating in the review of grievance and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of **interviews** and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records on a reconsideration request.

Disposition: **Destroy** 4 years after-case is **closed** (GRS 1, Item 30(a)) (reference (p)).

2. Adverse Action Files (5 CFR 752) (reference (u)). Case files and related records created in reviewing an adverse action (disciplinary or nondisciplinary removal, suspension, **leave** without pay, reduction-in-force) against an employee; includes a copy **of** the proposed adverse action with supporting papers: statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action: and **appeal records**, EXCLUDING letters of reprimand.

Disposition: Destroy 4 years after case is closed (GRS 1, Item 30(b)) (reference (p)).

202-50 Individual Promotion **Files**. Records on the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluation of candidates, EXCLUDING any records that duplicate information in the promotion plan, are in the OPF or in other personnel records.

Disposition: Destroy 2 years after the personnel action or after the action has been audited by the OPM, whichever is sooner.

202-51 Federal Workplace Drug Testing Program Files (GRS 1, Item 36) (reference (p)). These files consist of drug testing program records created under **E.O.** 12564 and PL 100-71, section 503 (**101** Stat. 468) (reference (v)) (reference (w)), excluding consolidated statistical and narrative reports concerning the operation of the agency program (see series 902) . Disciplinary action case files on actions taken against employees for **drug** use, possession, failure to comply with drug testing **procedures, and** similar matters are covered by 202-49.2, Adverse Action Files. Any records that are relevant to litigation or disciplinary actions should be disposed of no earlier than the

related litigation or adverse action case files.

1. Drug test plans and procedures, excluding documents filed in formal issuances such as directives, procedures handbooks, etc. These files consist of copies of plans and procedures, with related drafts, correspondence, memoranda, and other records on the development of procedures for drug testing **programs, including** the determination of testing incumbents in designated positions.

Disposition: Destroy when 3 years old or **when** superseded, obsolete, or no longer needed, whichever is later (GRS 1, Item 36(a)) (reference (p)).

2. Employee acknowledgement of notice forms. These are forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they **may** be tested.

Disposition: Destroy when employee separates from **testing-** designated position (GRS 1, Item 36(b)) (reference (p)).

3. Selection/scheduling records. These are records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists, notification letters, and testing schedules.

Disposition: Destroy when 3 years old (GRS 1, Item 36(c)) (reference (p)).

4. Records on the collection and handling of specimens.

a. Bound record books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Disposition: Destroy 3 years after date of last entry (GRS 1, Item 36(d)(1)) (reference (p)).

b. Chain of **custody** records consisting of forms and other records used to **maintain** control and **accountability** of specimens from the point of collection to the final disposition of the specimen.

Disposition: Destroy when 3 years old (GRS 1, Item 36(d)(2)) (reference (p)).

5. Test results consisting of records documenting individual test results, including reports of testing,

notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

Disposition: Destroy when 3 years old (GRS 1, Item 36(e) (reference (p))).

203 Records Management Files. These files result from the planning, promulgation, and execution of concepts and procedures for managing the creation, transmission, maintenance, use, and disposition of OSD records (see GRS 16 (reference (p))).

203-01 Records Management **Survey** Files. Documents on staff visits and surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of, records management operations and programs. Included are notifications of visits, **reports of** visits and-surveys, reports **of** corrective action taken, and related documents.

Disposition: Office performing **OSD-wide** staff responsibility: Destroy after 15 years. Other offices: Destroy 2 years after next comparable survey or on discontinuance of the surveyed office, whichever is first.

203-02 Records Management Survey Background Files. Documents used in preparing for records management **surveys**. Included are organizational charts, statements of functions, copies of records management directives, lists of personnel responsible for records management, volume of records data, **copies** of training materials; copies of authorized deviations, schedules of surveys, notes drafts, and similar or related documents.

Disposition: Destroy in CFA after 5 years. Earlier destruction is authorized.

203-03 Access to Information Files Documents on the formulation of DoD procedures, conditions, and restrictions on the release of information from files, release of copies, and the granting of access to records for official or unofficial research. Included are case files with requests, basic interpretations, decisions precedents, studies, and related or similar papers.

1. Procedures, restrictions and conditions. Offices responsible for formulating OSD concept.

Disposition: Permanent. Cut off after 5 years and retire to the **WNRC**.

2. Case files.

Disposition: Cut off after 5 years. Retire to the **WNRC**; destroy when 15 years old.

203-04 Records Disposal Authorization Files. Documents on authorization by Congress or the Archivist of the United States to destroy records. Included are studies, coordination actions, requests for authority to destroy records, archival appraisals, and approvals or disapprovals.

Disposition: Destroy when 25 years old.

203-05 Records Locator and Distribution Files. Documents reflecting files that have been transferred or retired. Included are records shipment **lists** and records transfer lists.

Disposition: Offices retiring records: Destroy after all records listed thereon have been destroyed, except those reflecting permanent files may be destroyed when no longer needed for reference. Records Management Division: Keep hardcopy **version** of OSD offices' submissions until converted to electronic medium, then destroy; purge data base when no longer needed for reference.

203-06 Records Management **System** Files. Documents on the appraisal of records systems and procedures such as those relating to miniaturization, office copying, and word processing. Included are evaluation studies and similar or related documents.

Disposition: Approved Systems: Destroy after 1 year.

203-07 Records Holding Reporting Files. RESCINDED.

203-08 Records Disposition Standard Exemption Files. Documents reflecting exceptions to records disposition standards authorized by responsible records management officials. Included are requests, approvals, and related documents.

Disposition: Destroy on expiration of exception.

203-09 National Archives Liaison. Documents, correspondence, and the like pertaining to exchange between **National** Archives and the OSD on the subject of records management.

Disposition: a. Any authority to destroy or exemptions granted by NARA will be retained for 6 years. Retire to the WNRC at that time. Destroy when 25 years old. b. Other general correspondence may be destroyed after 2 years.

203-10 Privacy Act Files. (GRS 14, Items 22-26) (reference (p)). (Note: Privacy Act requests are filed by Office of Assistant Secretary of Defense (**OASD**) (PA), Freedom of Information - and Security Review. See para. 704.)

1. Privacy Act accounting of Disclosure Files. Files maintained under the provision of 5 **U.S.C.** 552a(c) (reference (x)) **for** an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Disposition: Dispose of in accordance with the approved disposition **instructions** for the- **related subject individual's** records, or 5 years after the disclosure for which the accountability was made, whichever is later (GRS 14, Item 23) (reference (p)).

2. Privacy Act Amendment Case Files. Files on an individual's request to amend a record pertaining to that individual as provided for under 5 U.S. C. 552a (d) (2) ; to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under **552a** (d) (3) ; and to any **civil** action brought by the individual against the refusing agency as provided under 5 U.S. C. 552a (g) (reference (**x**) , GRS 14, Item 22 (reference (p)) .

a. Requests to amend a record agreed to by agency. Includes individual's request to amend and/or review refusal to amend, copies of Agency's replies thereto, and related materials. -

Disposition: Dispose of in accordance with the approved disposition instruction for the related subject individual 's record or 4 years after Agency's agreement to amend, whichever is later (**GRS** 14, Item 22 (a) (reference (p)) .

b. Requests to amend refused by agency. Includes individual's requests to amend, copies of Agency's replies thereto, statement of disagreement, Agency justification for refusal to amend a record, and related materials.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's records; 4 years after final determination by Agency or 3 years after final adjudication by courts, whichever is later (GRS 14, Item 22 (b) (reference (p)) .

c. Appealed requests to amend. Includes **all** files **created** in responding to appeals under the Privacy Act for

refusal by any Agency to amend a record.

Disposition: Dispose of in accordance with the approved disposition instructions for related subject **individual's** record or 3 years after final adjudication by courts, whichever is **later** (GRS 14, Item 22(c) (reference (p))).

3. Privacy Act Reports Files. Recurring reports and one-time information requirements relating to Agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems. Annual reports at departmental or agency level..

Disposition: Destroy when 2 years old (**GRS** 14, Item 25) (reference (p)).

4. Privacy Act General Administrative Files. Records on **the** general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Disposition: Destroy when 2 years old or sooner if no longer needed for administrative use (GRS 14, Item 26) (reference (P)) .

203-11 Declassification Management Files. Documents, directives, and correspondence on the subject. Requests for declassification from in and out of DoD. Responses, appeal referrals and general policy files.

Disposition: Retain case files for 3 years after last entry. Retire to **the WNRC**. Destroy when **10** years old.

203-12 Data Index Systems Files. Policy direction on the methods to be employed in developing an automatic or manual system to recognize and downgrade classified documents of a permanent nature. The identification of data elements in the system and the anticipated output. The present OSD system is manual.

Disposition: Informational documents: Destroy when no longer needed for current business.

203-13 Micrographic Management Files. Policy directives prescribing functions and responsibilities of micrographic management program in the **OSD**. Included may be inventories of equipment, feasibility studies, and justification for systems developed to convert hard copy to microform version.

Disposition: a. Feasibility studies and justification. Destroy when superseded by subsequent studies. b. Others. Destroy when no longer needed.

203-14 Vital Records Program Files. Correspondence, inventories, directives, policy.

Disposition: Permanent. Policy and procedural Directives. Retire to the **WNRC** when superseded or obsolete. Transfer to National Archives when 20 years old. Destroy old inventories when superseded.

203-15 Source Data Systems Files. Instructive materials, system studies, directives.

Disposition: **Destroy** when **no** longer current.

203-16 Mail Management Files. Systems studies, statistics, proposals, directives, instructional materials.

Disposition: Destroy when no longer current.

204 'Floor **Space** Management and Semite **Files**. Acquisition, allocation, and utilization of space and office **services** including related correspondence.

204-01 Space Management. Records relating to the allocation, utilization, and release of space under departmental control and related reports to the GSA (**GRS** 11, Item 2) (reference (p)).

Disposition: a. Dispose of building plan file and related departmental records on space utilization, planning assignment, - or adjustment 2 years after termination of assignment, when lease is **cancelled**, or when plans are superseded or become obsolete. b. Dispose of records supporting, and copies of, reports submitted to GSA on space occupied, both inside and outside the National Region, 2 years after annual file cutoff. c. Destroy space plan file and related record material used in space planning, and assignment and adjustment of space allocated to the OSD 2 years after file cutoff. d. Destroy record copies supporting reports submitted to the Department of Defense space control activity regarding space occupied by the OSD 2 years after **file** cut off. e. Dispose of correspondence files on space and Maintenance matters of an administrative or operating nature 3 years after cutoff (**GRS** 11, Item 2(a) (reference (p))).

204-02 Duty Hours Coordination Files. Documents on duty hours of principal DoD Components in the pentagon; guard and custodial services, and related correspondence.

Disposition: Destroy when 5 years old.

204-03 Administrative Policy Files. Documents on the development, preparation, issuance, and interpretation of directives or regulatory instructions and facilities and space.

Disposition: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

204-04 Space and Facilities Files. Copies of documents on space assignments, agreements, building plans, alterations requests, maintenance e, and related records.

Disposition: Destroy 5 years after termination of assignment.

204-05 OSD Liaison Files. Documents on liaison with the GSA and other Federal agencies on the subject of space management.

Disposition: Destroy after 5 years.

204-06 Concession Operations Files. Documents on correspondence with various concessions operations. Leases and other agreements on use and operations.

Disposition: Cut off when new agreement reached or concessionaire relocates. Retain 2 years, then retire to the WNRC ~~for~~ an additional 5 years.

204-07 Credential Files.

1. Property passes.

Disposition: Destroy credentials 3 months after return to issuing office (GRS 18, Item 12) (reference (p)).

2. Parking Permit.

Disposition: Destroy at time of annual turnover (GRS 11, Item 4(a) (reference (p))).

204-08 Building and Equipment Semites. Requests for building and equipment maintenance services, excluding fiscal copies.

Disposition: Destroy 3 months after work performed or requisitions canceled (GRS 11, Item 5) (reference (p)).

204-09 Parking Financial Files

1. Accounts maintained for site audit records consisting of

statements of transactions, collection. schedules, etc.

Disposition: Retain on site 3 years. Retire to the **WNRC** for an additional 3 years and 3 months.

2. General Accounting Ledger.

Disposition: Destroy **10** years after the close of the fiscal year.

205 Historical Files. Documents on general policies and procedures governing development of historical data and special historical studies.

205-01 Historical Records and Reports File. Documents prepared by historians under **the-OSD** historical program.

Disposition: Permanent. Retire to the **WNRC** 2 years after cutoff .

205-02 Historical Research and Reference Files. Documents collected and maintained by historians in the preparation of histories, occasional studies, and reports. "

Disposition: Destroy when superseded or obsolete.

206 Budget and Finance. Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Office of Management and Budget (**OMB**) and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by the OMB, usually in quarterly portions, and the agencies must indicate and justify regularly to **OMB** their proposed rate of expenditure. After the funds have been made available to the OSD, its own controls over the funds are in its expenditure accounting records, and detailed information relative to expenditures is contained in the accountable officer's account.

Paragraphs 206-01 through 206-07 of this schedule apply to records of budget preparation, presentation, and apportionment. OSD budget records normally are created at all levels of organization. They show proposals from all operating levels as well as the **OSD-wide** coordinating work done by the budget office. Therefore, the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the OSD level.

The nature of the budget presentation itself is standardized by the **OMB**, which prescribes a format and procedures for **all** Federal Agencies. The budget submission, a record copy of which is designated by the **OSD**, is a duplicate of the set of papers submitted to the **OMB**. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements that highlight the principal features of the OSD requests and supporting documents. The narrative presents the policies and the programs of the agency that the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements on each type of appropriation and fund under which OSD operates. Finally, **OMB** requires additional supporting data on objects of expenditure, particular agency programs, and figures based on the cost of various types of service operations, such as personnel and patrolling activities.

206-01 Budget Policy Files. Correspondence or subject files documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for OSD programs.

Disposition: Permanent. Cut off when superseded or obsolete and retire to the **WNRC**, as appropriate for documents maintained in accordance with series 103-01.

206-02 Budget Background Records. Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described in 206-04.

Disposition: Destroy 1 year after the close of the fiscal year covered by the budget.

206-03 Budget correspondence **Files**. Correspondence files in formally organized budget offices on routine administration, internal procedures, and other matters not covered elsewhere in this schedule.

Disposition: Destroy when 2 years old.

206-04 Budget Estimates and Justification Files.

1. Copies of budget estimates and justifications prepared or consolidated for the OSD and offices under the WHS for administrative support. Included are appropriation language sheets, narrative statements, and related schedules and data.

Disposition: Permanent. Retire to the **WNRC** when 4 years old. Transfer to the National Archives when 20 years old.

2. Working papers and background materials.

Disposition: See Section 206-02 of this schedule.

206-05 Budget Reports **Files**. Periodic reports on the status of appropriation accounts and apportionment.

1. Annual report (end of fiscal year) .

Disposition: Destroy 5 years after account merges.

2. **All** other reports.

Disposition: **Destroy 2 years** after the close of the fiscal year.

206-06 Financial Reports.

Financial reports, recurring and one-time, on financial management.

Disposition: Permanent. Retire to WNRC when 2 years **old**; transfer to NARA when 20 years old.

206-07 Budget Apportionment Files.

Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

Disposition: Destroy 2 years after the close of the fiscal year.

206-08 Travel and Transportation Records. This schedule covers records on the movement of goods and persons under Government orders. The **recordkeeping** involved in the movements centers around bills of lading, transportation requests, vouchers, and associated records. Copies of records used to support payments become part of the accountable officer's accounts, or are accounting posting media.

a. Movement of Goods. The key record is the bill of lading, of which there are copies for cosigners, **cosignees**, and the carriers themselves. The papers related to, and normally filed with, the bill of lading itself are varied and often voluminous. These may consist of shortage and **demurrage** reports, invoices, and other descriptive data that document hold effects, authorized by law and regulations for civilian employees of the Government. When shipping certain vouchers under the Government Losses in Shipment Act, which insures against loss, retain copies

of schedules of material shipped, papers relating to claims that may ensue, and other pertinent documents.

b. Movement of Persons. The movement of persons is documented essentially by copies of travel orders and standard form vouchers showing payment for official travel. The primary copies of the travel orders are the administrative copy maintained by the transportation unit controlling the issuance of travel orders, and copies used for encumbrance of funds.

1. Freight **Files.** Records on freight consisting of export certificates, transit certificates, demurrage car record books, shipping documents pertinent to freight classification, memorandum copies of **Government** or commercial **bills** of lading, shortage and **demurrage** reports, and all supporting documents; and including records on the shipment of household goods.

a. Issuing office memorandum copies, other than those identified in 4. below.

Disposition: Destroy when 3 years old.

b. All other- copies.

Disposition: Destroy when 1 year old.

c. Registers and control records.

Disposition: Destroy when 3 years old.

d. Records on international shipments of household **goods** moved by freight forwarders.

Disposition: Destroy 6 years after the period of the account.

2. Lost or Damaged Shipment Files. Schedules of valuables shipped, correspondence, memoranda, reports, and other records on the administration of the Government Losses in Shipment Act.

Disposition: Destroy when 6 years old (GRS 9, Item 3) (reference (p)).

3. Passenger Transportation Files. Memorandum copies of vouchers (SF 1113A) , memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting papers.

a. Issuing office memorandum copy.

Disposition: Destroy when 3 years old (GRS 9, Item 1) (reference (p)).

b. Obligation copy.

Disposition: Destroy when funds are obligated.

c. Unused ticket redemption forms, such as Standard Form 1170.

Disposition: Destroy when no longer needed for administrative use.

4. Passenger Reimbursement Files. Records on reimbursing individuals, such as travel orders, per diem vouchers, transportation **requests**, hotel **reservations**, and **all supporting** papers documenting official travel by officers, employees, dependents, or others authorized by law to travel.

a. Travel administrative office files.

Disposition: Destroy when 3 years **old** (GRS 9, Item 3(a) (reference (p))).

b. Obligation copies.

Disposition: Destroy when funds are obligated (GRS 9, Item 3(b) (reference (p))).

5. General Travel and Transportation.

a. Correspondence, forms, and related records on to agency travel and transportation functions, not covered elsewhere in this schedule.

Disposition: Destroy when 2 years old (GRS 9, Item 4(a) (reference (p))).

b. Accountability records.

Disposition: Destroy 1 year after all entries are cleared (GRS 9, Item 4(b) (reference (p))).

206-09 Accountable **Officer's** Files.

1. Original or carbon copy of accounts maintained for site audit by GAO consisting of statements of transaction, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and **all** other schedules and vouchers.

Disposition: Destroy 6 years, 3 months after period

covered by account (GRS 6, Item 1(a) (reference (p)) .

2. Memorandum copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere.

Disposition: Destroy when 1 year old (GRS 6, Item 1 (b) (reference (p)) .

206-10 GAO Exception Files. GAO notices of exceptions, such as **Standard** Form **1100** never formal, informal, or related correspondence.

Disposition: Destroy 1 year after exception has been cleared by the GAO.

206-11 Certificates Settlement Files. Copies of certificates of settlement of accountable officers, statement of differences, and related records.

1. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.

Disposition: Destroy 2 years after settlement (GRS 6, Item 3 (a) (reference (p)) .

2. Certificates covering periodic settlements.

Disposition: Destroy when subsequent certificate of settlement is received (GRS 6, Item 3 (b) (reference (p)) .

206-12 General Fund Files. Records on availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit (SFS 201, 209, and 219) , other than those records covered by Item 206-09 of this schedule.

Disposition: Destroy when 3 years old (GRS 6, Item 4) (reference (p)) .

206-13 Accounting Administrative Files Correspondence, reports and data on voucher preparation, administrative audit, and other accounting and disbursing operations.

1. Files used for workload and personnel management purposes.

Disposition: Destroy when 2 years old (**GRS** 6, Item 5(a) (reference (p))).

2. **All** other files.

Disposition: Destroy when 3 years old (**GRS** 6, Item 5(b) (reference (p))).

206-14 Federal Personnel Surety Bond Files.

1. Official copies of the bond and attached powers of attorney.

a. Bonds purchased prior to January 1, **1956**.

Disposition: Destroy 15 years after bond becomes inactive (**GRS** 6, Item 6(a)(1) (reference (p))).

b. Bonds purchased after December 31, 1955.

Disposition: Destroy 15 years after end of bond premium period (**GRS** 6, Item 6(a)(2) (reference (**p**))).

c. Other bond files including other copies of bonds and related documents.

Disposition: Destroy when bond becomes inactive or after the end of the bond premium period.

206-15 Telephone Toll Tickets. Originals and copies of toll tickets **filed** in support of telephone toll call payments.

Disposition: Destroy when after GAO audit or when 3 years old, whichever is sooner (**GRS** 6, Item 8) (reference (p))).

206-16 Expenditure Accounting General Correspondence and Subject Files. Correspondence or subject files maintained by operating units responsible for expenditures accounting pertaining to their internal operations and administration.

Disposition: Destroy when 2 years old.

206-17 General Accounting Ledgers. General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.

Disposition: Destroy 6 years and 3 months after the close of **the** fiscal year involved.

206-18 Appropriation Allotment Files. Allotment records showing status of obligations and allotments under each

authorized appropriation.

Disposition: Destroy 6 years and 3 months after the close of the fiscal year involved.

206-19 Expenditure Accounting Posting and Control Files. Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.

1. Original records.

Disposition: Destroy when 3 years old.

2. Copies.

Disposition: Destroy when 2 years old.

207 Pay Files

207-01 Individual earning and **service** cards (Such as Standard Form 1127 or its equivalent.)

Disposition: Transfer to National Personnel Records Center (NPRC), St. Louis, Mo. a. If in personnel folder or in individual pay folder filed adjacent to personnel folder, dispose of with the personnel folder. b. If not in or filed adjacent to personnel folder, dispose of 56 years after date of last entry on card.

207-02 Correspondence files maintained by operating units responsible for payroll preparation and processing, pertaining to administration and operation of the units.

Disposition: Destroy after 2 years (GRS 2, Item 2) (reference (p)).

207-03 Time and attendance reports.

1. Copies used in payroll preparation and processing. (Where reports are used for both time and attendance and leave posting purposes, the disposal provision for Section 207-09 applies.)

Disposition: Destroy after audit by the GAO or after 6 years, whichever is earlier (GRS 2, Item 3(a)(1) (reference (p))).

2. All others.

Disposition: Destroy 6 months after end of pay period (GRS 2, Item 3(a)(2)) (reference (p)).

207-04 Individual authorization card and payroll allotments (such as Standard Form 1192).

1. Where record of bond-deductions **is** maintained on earning record card.

Disposition: Destroy when superseded or after separation of employee. **If** employee transfers within an agency, these authorizations must also be transferred. See Treasury Fiscal requirement Manual, para. **6020.20e** for instructions relating to savings bond authorizations, and FPM Chapter 550, Subchapter 3, Part 8, for instructions on the Combined Federal Campaign (CFC) authorizations (**GRS 2, Item 4(a)(1)**) (reference (p)).

2. Where record of bond deductions **is** not maintained elsewhere.

Disposition: Destroy 3 years after supersession or 3 years after separation of employee. See 1., above, for transfer instructions (**GRS 2, Item 4(a)(2)**) (reference (p)).

207-05 Issuing **agents'** copies of bond deductions is not maintained elsewhere.

Disposition: Destroy after 2 years (**GRS 2, Item 5**) (reference (p)).

207-06 Receipts for and transmittals of U.S. Savings Bonds and **checks**.

Disposition: Destroy 3 **months** after date of receipt (GRS 2, Item 6) (reference (p)).

207-07 Reports of deposits **and** purchase of **bonds**, and related papers.

Disposition: Destroy after 3 years (GRS 2, Item 7) (reference (p)).

207-08 Application for leave **and** supporting papers.

1. Application for leave taken immediately prior to separation.

Disposition: Attach to leave record card (see Section 207-09). If in personnel folder or in individual pay folder filed adjacent to personnel folder, dispose of either 10 years after date of last entry on card or with the personnel folder. If not in or filed adjacent to personnel folder, dispose of 10

years after date of last entry on card.

2. All others.

a. If the time card has been approved by the employee.

Disposition: Dispose of at the end of the applicable pay period (GRS 2, Item 8(a) (reference (p))).

b. If the time card has not been initialed by the employee.

Disposition: Destroy after-the GAO "audit or when 3 years old, whichever is sooner (GRS 2, Item 8(b) (reference (p))).

207-09 Leave record cards, maintained independently of pay and earning records (including Standard Form 1130 when used as a leave record).

1. Pay or fiscal copy.

a. Final individual card showing accumulated leave on separation.

Disposition: Transfer to the National Personnel Records Center (NPRC), St. Louis, Mo, after audit by GAO or after 3 years, whichever is earlier. The NPRC will destroy when 10 years old.

b. All other pay or fiscal copies.

Disposition: Destroy when 3 years old (GRS 2, Item 9(a) (reference (p))).

2. Other copies.

Disposition: Dispose of 3 months after the end of the period covered (GRS 2, Item 9(b) (reference (p))).

207-10 Records of leave data (such as Standard Form 1150) except as noted in the Federal Personnel Manual, 293-A-3.

1. File original of Standard Form 1150 on right side of OPF .

Disposition: Transfer folders of separated personnel to Federal Personnel Records Center, St. Louis, **Mo.**, 30 days after separation (GRS 2, Item 10(a) -- See GRS 1, Item 1) (reference

(P)) .

2. Agency Copy.

Disposition: Dispose of after 3 years (GRS 2, Item 10(b) (reference (p))).

3. Donated Leave Program Case Files.

Disposition: Destroy one year after the end of the year in which the file is closed (**GRS 1**, Item 37) (reference (p)) .

207-11 Notifications of personnel action, exclusive of those in OPF.

1. Pay or **fiscal** copy. . .

Disposition: Destroy after audit of related pay records by the GAO or after 3 years, whichever is earlier (GRS 2, Item **11**) (reference (p)).

2. Chronological file copies, including fact sheets.

Disposition: Destroy after 2 years.

3. All other copies.

Disposition: Destroy after **1** year.

207-12 Copies of budget authorizations to operating units that control personnel ceilings and personnel actions.

Disposition: Destroy when superseded (GRS 2, Item **12**) (reference (p)).

207-13 Memorandum copies of payrolls, check lists, and related certification sheets (such as Standard Forms 1013, 1128, or equivalents) .

1. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers.

Disposition: Destroy when the **FRC** receives second subsequent payroll or **check** list covering same payroll unit (GRS 2, Item **13(a)** (reference (p))).

2. All other copies.

a. Where earning record is maintained.

Disposition: Destroy after audit by GAO or after 3 years, whichever is earlier (**GRS 2**, Item **13(b)(1)** (reference (p))).

b. Where earning record card is not maintained.

Disposition: Transfer to National Personnel Records Center, St. Louis, Me., when 3 years **old** (GRS 2, Item 13 (b) (2) (reference (P)).

207-14 Payroll control registers.

Disposition: Destroy after audit of related pay records by the GAO or after 3 years, whichever is earlier (**GRS** 2, Item 14) (reference (p)).

207-15 Payroll change slips exclusive of those in Official Personal Folder (**OPF**) - (such as Standard **Form** 1126).

1. Copy used in GAO audit.

Disposition: Destroy after audit of related pay records by the General Accounting Office or after 3 years, whichever is earlier (**GRS** 2, Item 15(a) (reference (p))).

2. Copy used by disbursing officer preparing checks.

Disposition: Destroy after preparation of check (GRS 2, Item 15(b) (reference (p))).

3. **All** other copies.

Disposition: Destroy 1 month after end of pay period (GRS - 2, Item 15(c) (reference (p))).

207-16 Memorandum copies of fiscal schedules involved in payroll processing.

1. Copy used in GAO audit.

Disposition: Destroy after audit by GAO after 3 years, whichever is earlier (GRS 2, Item 16(a) (reference (p))).

2. **All** other copies.

Disposition: Dispose of 1 month after end of pay period (**GRS** 2, Item 16(b) (reference (p))).

207-17 Administrative **reports** and data relating to payroll operations and pay administration.

1. Reports and data used for workload and personnel management purposes.

Disposition: Destroy after 2 years (GRS 2, Item 17(a) (reference (p))).

2. **All** other reports and data.

Disposition: Destroy after 3 years (GRS 2, Item 17(b) (reference (p))).

207-18 Withholding tax **exemption** certificates (such as Treasury Department Form W-4) .

Disposition: Destroy 4 years after card is superseded or obsolete (GRS 2, Item 18(a) (reference (p))).

207-19 Returns on income taxes (such as Treasury Department Form W-2) .

Disposition: Destroy when 4 years old (GRS 2, Item 18(b) (reference (p))).

207-20 Reports of withheld Federal taxes and related papers (including records on income and social security taxes) .

Disposition: Destroy when 4 years old (GRS 2, Item 18(c) (reference (p))).

207-21 Retirement reports and registers.

Disposition: Destroy after 3 years (GRS 2, Item 19 (a) (reference (p))).

207-22 Reports of insurance deductions and related papers including copies of vouchers and schedules of payment.

Disposition: Destroy after 3 years (GRS 2, Item 20) (reference (p))).

207-23 Levy and garnishment records, **including** official notice of levy or **garnishment**, change **sl ips, workpapers** and correspondence relating to charges against retirement funds or attachment of salary for payment of back income taxes or for other debts of Federal employees.

Disposition: Destroy after 3 years (GRS 2, Item 21) (reference (p))).

207-24 Department of Defense Dependents Schools (**DoDDS**) Erroneous Overpayments Files (**N1-330-90-2**). Documents on erroneous overpayments of earnings and benefits to DoDDS overseas civilian employees. These include excess payments of salaries, health benefits, annual sick leave reimbursements, foreign-post differentials, living allowances, and Cost of Living Adjustment

(COLA) adjustments. Paperwork contained in individual files consists of notifications of overpayment to the individual stating the amount of indebtedness to the Government; copies of personnel action, notices; vouchers; payment listings; and audit worksheets. Also included are letters from individuals requesting waiver from the indebtedness; DoDDS investigation reports and preliminary decisions; correspondence forwarding claims to the Director, Administration & Management, OSD; and copies of the final decisions rendered by the Comptroller General of the U. S.

Disposition: Destroy 5 years after case is closed.

208 Supply and Services

208-01 Procurement files (as described in item 208-04 below) involving transactions of \$25, 000 or more and documenting the initiation and development of transactions that deviate from established precedents on general agency procurements or to major procurement programs (other than those covered by item 208-13).

Disposition: Permanent. Retire to the **WNRC** when 5 years old.

208-02 Title papers documenting the acquisitions of real property (by purchase, condemnation, donation, exchange, or otherwise) .

1. All records for property acquired other than abstract or certificate of title.

Disposition: Title papers, dated 1921 and after. Destroy 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens (GRS 3, Item 1(a) (reference (p))).

2. Papers for property acquired before January 1, 1921.

Disposition: Title papers preceding 1921. Permanent. Transfer to the National Archives 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

3. Abstract or certificate of title.

Disposition: Transfer to purchaser after unconditional sale or release by the Government (GRS 3, Item 1(b) (reference (p))).

208-03 Correspondence files of procurement operating units on their internal operation and administration that are not covered elsewhere in this schedule.

Disposition: Destroy after 2 years (GRS 3, Item 2) (reference (p)).

208-04 Contract, requisition, purchase order, lease, and bond and **surety** records, including correspondence and related papers on award, administration, receipt, inspection, and payment (other than those covered in items 208-01, 02, and 13).

1. Procurement or purchase organization copy, and related papers.

a. " **Transactions** of more-than **\$25,000** and all **construction** contracts exceeding \$2,000.

Disposition: Destroy 6 years and 3 months after final payment. (Place in inactive file on **final** payment; retire **fiscal** year block to Federal Records Center after 2 years.) (GRS 3, Item (reference (p))).

b. Transactions of \$25,000 or less and construction contracts under \$2,000.

Disposition: Destroy 3 years and 6 months after final payment. (Close file at the end of each fiscal year, retain 3 years and dispose of, except those files on which actions are pending will be brought forward to the next fiscal year's **files** for disposal therewith) (**GRS** 3, Item 3(a)(2) (reference (p))). -

2. Obligation copy.

Disposition: Destroy when funds are obligated (**GRS** 3, Item 3(b) (reference (p))).

3. **Copies** Of **contracts**, requisitions, purchase orders, leases, and other papers which are duplicates of papers defined in item 208-04.1, used by component elements of a procurement office **for** administrative purposes.

Disposition: Destroy upon termination or completion (GRS 3, Item **3(c)** (reference (p))).

208-05 Files of reports on **supply** requirements and procurement matters submitted for supply management purposes. Case **files** (or other files of a general nature), exclusive of DoD reports reflecting procurement under exemptions authorized by Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 **U.S.C.** 481) (GRS 3 (reference (p))).

1. Copies received from other units for internal purposes or for transmission to staff agencies.

Disposition: Destroy after 2 years (**GRS** 3, Item 4(a) (reference (p))).

2. Copies in other reporting units, and related work papers.

Disposition: Destroy after 1 year (**GRS** 3, Item 4(b) (reference (p))).

208-06 Bid Files.

1. Successful bids.

Disposition: Destroy in accordance with item 208-04 (**GRS** 3, Item 5(a) (reference (p))).

2. Unsuccessful bids.

Disposition: Destroy in accordance with item 208-04 (**GRS** 3, Item 5(b) (reference (p))).

3. Lists or cards of acceptable bidders.

Disposition: Destroy when new list or card is made (**GRS** 3, Item 5(d) (reference (p))).

208-07 Records on requisitioning on the Public Printer, and all supporting papers.

1. Printing procurement unit copy of requisitions, invoices, specifications, and related papers.

Disposition: Destroy 3 years after completion or cancellation of requisition (**GRS** 3, Item (b)(a) (reference (p))).

2. Accounting copy of requisitions.

Disposition: Destroy 3 years after period covered by related account (**GRS** 3, Item 4(b) (reference (p))).

208-08 Requisitions for nonpersonal services, such as duplicating, binding, and other services (excluding records associated with accountable **officer's** accounts) .

Disposition: Destroy after 1 year (**GRS** 3, Item 7) (reference (p))).

208-09 Requisitions for supplies and equipment from current inventory.

1. Stockroom copy.

Disposition: Destroy 2 years after completion or cancellation of **requisition** (GRS 3, Item 8 (a) (reference (p)) .

2. All other copies.

Disposition: Destroy after 6 months (GRS 3, Item 8 (b) (reference (p)) .

208-10 Inventory Files.

1. Inventory **lists**. -. .

Disposition: Destroy 2 years from date of list (GRS 3, Item 9 (a) (reference (p)) .

2. Inventory cards.

Disposition: Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification of inventory records, or 2 years after equipment **is** removed from agency control (GRS 3, Item 9 (b) (reference (p)) .

3. Report of **survey** files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the General Records Schedules.

Disposition: Destroy 2 years after period covered by related account (GRS 3, Item 9 (c) (reference (p)) .

208-11 Telephone statements and toll slips.

Disposition: Destroy 3 years after period covered by related account (GRS 3, Item 10) (reference (p)) .

208-12 Contractors' payrolls (Construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti kickback affidavits, and other related papers.

Disposition: Destroy 3 years after period covered by related account unless contract performance is subject of enforcement action on such date (GRS 3, Item 11) (reference (p)) .

208-13 Tax exemption certificates and related papers.

Disposition: Destroy 3 years after period covered by related account (GRS 3, Item -12) (reference (p)) .

208-14 Disposal of Surplus Property

1. Case files on sales of surplus personal property and real property comprising invitations, bids, acceptances, lists of material, evidence of sales and related papers involving transactions and other papers which document the initiation and development of transactions that deviate from established precedents with respect to major disposal programs.

Disposition: a. Retire record copies including related material 3 years after file cutoff for permanent preservation. b. Destroy duplicate and nonrecord material when file is cut off. c. Case files not covered by 1a. apply dispositions schedule of 208-14.3.

2. Case files on disposal of surplus real and related personal property (as described in 1).

Disposition: a. Retire record copies including related material 3 years after file cutoff for permanent preservation. b. Destroy duplicate and nonrecord material when file is cut off .

3. Case **files** on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in 1 and 2).

a. Transactions of more than \$25,000.

Disposition: Destroy 6 years after final payment. (Place in inactive file on final payment and retire **to** the **WNRC** 2 years thereafter) (**GRS** 4, Item 3(a) (reference (p))).

b. Transactions of less than \$25,000.

Disposition: Destroy 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and dispose of, except that files on which actions are pending will be brought to the next fiscal year's files disposal therewith) (**GRS** 4, Item 3(b) (reference (p))).

208-15 Inventories of Supplies and Equipment

1. Stockroom copy of inventory lists.

Disposition: Destroy 2 years from date of list (GRS 3, Item 9(a) (reference (p))).

2. Stockroom inventory cards.

Disposition: Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control (GRS 3, Item 9(b) (reference (p))).

3. Card file of office equipment.

Disposition: **Destroy** individual item cards 2 years after equipment is transferred from the OSD.

208-16 Building and Equipment Service Files. Requests for building and equipment maintenance services, excluding **fiscal** copies. .

Disposition: Destroy 3 months after work is performed or requisition canceled (GRS 11, Item 5) (reference (p)) .

209 Classified Information Accounting and Control Records

Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with **the** EO 12356 (reference (q) , other Executive Orders or statutory or regulatory requirements, and DoD Regulation 5200. 1-R (reference (h)) .

209-01 Correspondence files on the administration of security classifications, control, and accounting for classified documents not covered elsewhere in this schedule. .

Disposition: Destroy when 2 years old (GRS 18, Item **1**) (reference (p)) .

209-02 Classified document receipts, on the receipt and issue of classified documents.

Disposition: Destroy when 2 years old (**GRS** 18, Item **2**) (reference (p)) .

209-03 Classified document destruction certificates on the destruction of classified documents.

Disposition: Destroy when 2 years old (GRS 18, Item 3) (**reference** (p)) .

209-04 Classified document inventory files, consisting of **forms, ledgers, or registers** used to show identity, internal routing, and **final** disposition made of classified-documents, but exclusive of classified document receipts and destruction certificates and documents on Top Secret material covered elsewhere in this schedule.

Disposition: Destroy when 2 years old (GRS 18, Item 4) (reference (p)).

209-05 Top Secret Document Accounting and Control Files

1. **Registers** maintained at control points to indicate accountability over **Top Secret documents**; reflecting the receipt, dispatch, or destruction of the documents.

Disposition: Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed (**GRS 18, Item 5(a)**) (reference (p)).

2. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

Disposition: Destroy when related documents are downgraded, transferred, or destroyed (GRS 18, Item 5(b) (reference (p))).

209-06 Access request files consisting of requests and authorizations for individuals to have access to classified files.

Disposition: Destroy 2 years after authorization expires. (**GRS 18, Item 6**) (reference (p)).

209-07 Classified document container security files consisting of forms or lists used to record safe and padlock combinations, and comparable data used to control access into classified document containers.

Disposition: Destroy when superseded by a new form or list, or upon turn-in of containers (GRS 18, Item, 7) (reference (p)).

209-08 Security Violations Files These are case **files** relating to violations of Executive Orders, laws, or agency regulations for the safeguarding of national security information, exclusive of documents placed in official personnel folders. Not to be confused with Defense Investigative Program Records (see **210-01.1a-c**).

Disposition: a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Defense for prosecutive determination, exclusive of files held by **DOJ** or Defense offices responsible for making such determinations: Destroy 5 years after close of case.
b. All other files, exclusive of documents placed in official personnel folders: Destroy 2-years after completion of final action or when no longer needed, whichever is sooner (GRS 18, Item 24) (reference (p)).

210 Defense Investigative Program Records (NC1-330-76-1) The Defense Investigative Program includes those investigative and related counter-intelligence activities undertaken to safeguard DoD information, personnel, functions, and installations. This request for authority to dispose of records is applicable to all DoD **Components** that engage in, **or maintain** investigative records of Defense **Investigative** Program activities.

210-01 Defense Investigative Case Files. Includes personnel security data on members of the Armed Forces, DoD civilian employees, and contractor employees under the Defense Industrial Security Program; data on activities threatening the security or involving the disruption or subversion of DoD military and civilian personnel, functions, activities, installations, information, communications, equipment and supplies; data on investigative activities within the United States, the District of Columbia, the Commonwealth of Puerto Rico, and United States Territories and possessions.

1. Files Relating to DoD Civilians and/or Military Members. Disposable. Retention periods for investigative records shall be as follows:

a. Routine Investigations. Personnel security investigations of a favorable nature and other investigations of a minor nature.

Disposition: Destroy 15 years after completion date of the last investiaative action for that file. Personnel security files on persons who are considered for affiliation with the DoD will be destroyed after 1 year if the affiliation is not completed.

b. Significant Incidents of Adverse Actions. Personnel security investigations resulting in an adverse personnel action or court-martial, or other investigation required for long term administrative or legal use.

Disposition: Destroy 25 years after the date of the last action. Those files determined to be of possible historical value and those of widespread public or congressional interest may be retired to the National Archives after 15 years.

c. Major Investigations. Investigations of espionage and sabotage, or other major investigations of a counterintelligence and a security nature.

Disposition: Permanent. Transfer to the National Archives within 25 years after the date of the last action.

2. Files On **non-DoD** Affiliated U.S. Citizen and Organizations.

a. Activities or events posing one of the following **types** of continuing threats to DoD military and civilian personnel and Defense activities and installations: Demonstrated hostility -- **activities** in which "an **actual** example of violent or criminal hostility has been carried out "within the previous year; threatened hostility - activities that during the previous year have explicitly threatened DoD installations providing a significant potential source of harm or disruption of the installation of its function; dissidence activities - activities during the previous year that have involved actively encouraging violation of the law, disobedience of lawful order or regulation, or disruption of military activities.

(1) Information that falls in the above categories that is originated by, and received or acquired from, agencies outside **the** Department of Defense.

Disposition: Destroy not later than 1 year after acquisition unless validated for retention for another year when - it is determined during the annual verification review by the Secretaries of the Military Departments that a continued threat exists.

(2) Files or other documents created within the DoD that contain significant analytical comments, value judgments, or recommendations on information received or acquired from agencies outside the Department of Defense.

Disposition: Retained for a period not in excess of 1 year after acquisition, unless validated on an annual basis for continued retention. When DoD-originated information is not validated for continued retention, these files will be transferred to the National Archives for a determination of their historical value.

b. Activities or events not posing a continuing threat. Information originated by, and received or acquired from, agencies outside the Department of Defense during the course or routine investigative or liaison activity which after

receipt is subsequently determined to fall outside the area of interest of the DoD personnel, property or functions and no DoD **file** is created or DoD information generated.

Disposition: Destroy immediately after an evaluation determines a threat does not exist or-not later than 90 days following acquisition.

c. Special Investigation and Operations. Files or other documentation originated by DoD Components pertaining to those activities of **non-DoD** affiliated organizations and individuals that potentially or actually threatened DoD functions, property **or** personnel, and files or other documentation on Defense Investigative Review Council (DIRC)-approved measures to **quell** or counter these activities.

Disposition: **Permanent.** Transfer to the National Archives within **25** years after the date of the last action.

d. Organizations and Individuals **Servicing** the DoD Installations. Investigative information **on** organizations and individuals providing commercial services, engaged in contracts, or otherwise engaged in business enterprises on DoD installations.

Disposition: Destroy 1 year after the service is discontinued unless the contract is in dispute, in which event the file will be destroyed 1 year after final payment of the other settlement of the obligation.

e. Requests for DoD personnel to attend or officiate at meetings, ceremonies, etc. , as representatives of - the DoD. Information-on the organization and **individual** making the **request**, the nature of the event, and any other details describing the occasion.

Disposition: Destroy not later than 1 year after the event.

f. One-time requests for admittance to installations (speakers, bands, **drill** teams, tours, etc.) . Information concerning the organization and individual requesting admittance to the installation.

Disposition: Destroy not later than 1 year after the event.

9* Inquiries from members of the public to the DoD for information on DoD functions or units, unit insignia, signatures or photos of senior commanders, etc. Information concerning **the** collectors of such items.

Disposition: Destroy after 1 year or when no longer determined pertinent by annual review.

h. Unsubstantiated reports to the DoD Components from members of the public alleging imminent invasions, plots, and similar events of a delusional nature, and assorted "**crank**" letters. Information concerning the organization/individual providing such details.

Disposition: Destroy after 1 year or when no longer determined pertinent by annual review.

i. Information collected on **non-DoD** affiliated civilians incident to the personnel security investigation of an affiliated member.

Disposition: Destroy after 1 year or when no longer determined pertinent by an annual review.

210-02 Civil Disturbance Files. (NC1-330-76-1) The **Attorney General is the** chief civilian officer in charge of coordinating all Federal Government activities relating to civil disturbances. Upon specific prior authorization of the Secretary of Defense or designee, information may be acquired that is essential to meet operational requirements stemming from the mission assigned to the Department of Defense to assist civil authorities in dealing with civil disturbances. Such authorizations will only be granted when there is a distinct threat of civil disturbance exceeding the law enforcement capabilities of State and local authorities. Information collected in these circumstances will be disposed of as follows:

1. Open source listing of Federal, State, and local officials who have official responsibilities on control of civil disturbances obtained before to commitment of Federal troops and routinely maintained for planning purposes.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

2. Open source physical data on vital public or private **installations, facilities, highways, and utilities, which may be** necessary to carry out missions assigned, are obtained before to commitment of Federal troops and **routinely** maintained for planning purposes.

Disposition: Destroy when superseded obsolete, or no longer needed.

3. Data that pertains to **early warnings** of incidents, potential threats, and situation **estimates that** are obtained from Federal, **State, or local** investigative or law enforcement

agencies (that is duplicative of files maintained by the originating agency) before commitment of Federal troops and subjected to evaluation to determine pertinency with no DoD file **being** created or no DoD information generated.

Disposition: Destroy 60 days after termination of the specific situation of incident.

4. Data collected or developed by the DoD Components during a period when field acquisition, reporting, or processing activities have been specifically authorized by the Secretary of Defense. This data includes unconfirmed, fragmentary, routine, or transitory material not included as background data in item 5., below.

Disposition: **Destroy within 60 days after** the termination of the civil disturbance.

5. Documents prepared by Military Department staffs, agency headquarters, or task force elements that are responsible for directing the activities of field units that are engaged in quelling a civil disturbance, including background data, after-action reports and historical summaries. Such after-action reports and historical summaries will avoid to the greatest extent possible references to non-affiliated persons and organizations.

Disposition: Permanent. Transfer to the National Archives within 25 years after the situation or event terminates.

211 Nonappropriated Funds (NC1-330-77-4). Financial records on the operation of nonappropriated fund activities. Refer to 204-06 concerning the Concession Operations Files. For DoD Nonappropriated Fund Employee Personnel Records see 217.

211-01 Collection Records. .

1. Cash collection receipts.

Disposition: Destroy after 3 years.

2. Receipt books and duplicate receipts.

Disposition: Destroy after 2 years.

3. Accounts control cards. These reflect concession incomes.

Disposition: Destroy 1 year after contract terminated provided account is cleared.

211-02 Disbursements

1. Checks, separate accounts payable vouchers with supporting purchase orders, receiving report **invoices**, petty cash vouchers, etc.

Disposition: Destroy when 4 years old.

2. Checks in payment of proceeds of loans or other receivables.

Disposition: Destroy when loans or receivables are closed.

211-03 **Concessionaires**

1. Case files containing approved applications, agreements, financial statements, certificates of insurance, data on equipment, etc.

Disposition: Destroy 4 years after termination or cancellation of the agreement.

2. Letters of complaint, notices of noncompliance with the agreement, reports of contract violations, etc.

Disposition: Destroy 1 year after termination or cancellation of the agreement.

211-04 General Accounting Ledgers. Ledgers showing debit - and credit entries and reflecting expenditures in summary.

Disposition: Destroy 10 years after the close of the fiscal year involved.

212 Office of the **Secretary** of Defense

1. Records of the OSD, the Deputy Secretary of Defense, the Under Secretaries of Defense, and the Assistant Secretaries of Defense that:

a. Issue policy, prescribe procedures or effect organizational structures;

b. Provide executive direction or document major functions;

c. Pertain to relations with the White House, Executive Office of the President, Congress or the public;

- d. Pertain to foreign affairs;
- e. Prescribe budget policy;
- f. Pertain to litigations and formal legal opinions;

9" Pertain to major programs and plans.

Disposition: Permanent. Cut off annually and retire to the **WNRC**. Transfer to the National Archives when 30 years old. The OSD will reconsider periodically whether or not the offer date can be lowered.

2. Records of the immediate Office of the Secretary of Defense, Deputy **Secretary** of Defense, Under Secretaries of Defense, **and** Assistant Secretaries of Defense of a routine, **nonpolicy** nature with no permanent value or historical significance.

Disposition: Cut off annually and retire to the **WNRC**. Destroy when 7 years old.

3. **F**iles of personnel evaluated for non-career employment in **the DoD**. (Pending approval.) These files consist of referral letters, resumes, SFS **171**, position descriptions, White House clearance letters, OPM certifications, and other correspondence relating to the selection and **appointment** of political appointees. They contained information protected under the Privacy Act of 1974 (**DATSD** 03) and are not to be confused with the vetting files maintained by the DoD General Counsel under file series 406.

Disposition: Destroy at the end of the presidential administration during which the individual is hired, or when no longer needed, whichever is sooner, except that in lieu of destruction, certain pertinent documents may be offered to OSD Personnel & Security for inclusion in the individual's Official Personnel Folder.

213 Directives Division Files

Directives Division files consisting of DoD Directives, DoD Instructions, DoD publications, and amendments thereto, and other policy issuances under the DoD Directive System, and **supporting** documentation, such as coordination and reference documents.

Disposition: Permanent. Retire to the **WNRC** when superseded or microfiche. Transfer to the National Archives when 30 years old. The OSD **will** reconsider periodically whether or not the offer date can be lowered.

214 Information Operations and Reports Files

214-01 Combat and Non-combat Casualty **NC1-330-78-8**. File (NB) 111) . An ADP file listing the number of U.S. military casualties, combat, noncombat, missing, captured, or dead.

Disposition: a. ADP File. Permanent. Prepare the full data file as of September 30 of each year and transfer to the National Archives on magnetic tape within 45 days (November 15) along with adequate documentation to read and understand the file and a properly completed NA Form 14097, " Technical Description For Transfer of Electronic Records to the National Archives " (to be completed by Directorate for Information Operations and Reports (**DIOR**) , WHS) . b. Hard copy of reports. Permanent. Retire to the **WNRC** when no longer required for reference.

214-02 Defense Contract **Action** Data System (**DCADS**) . (**NC1-330-78-12**) ADP file containing data on **prime** contract actions reported on DD Forms 350 **over** \$10, 000 for **FY** 1966 through **FY** 1982, and actions over \$25,000 for subsequent fiscal years. Summary data on actions of \$25,000 or less reported on DD Forms 1057 from **FY** 1984 on are included.

1. Magnetic tape master.

Disposition: Permanent. Transfer to the National Archives when no longer required.

2. Hard copy output.

Disposition: Finished reports are permanent. Transfer to NARA when no longer required for reference. Other output may be destroyed when no longer needed for reference.

214-03 Source Data for Defense Contract Action Data System (**DCADS**) . (**NC1-330-81-2**)

1. DD Form **2139** contains essential data on prime contracts awarded by the DoD over \$25, 000. It lists contract of subcontractor, place of performance and purpose of contract.

Disposition: Convert DD Form 2139 to microfiche and:
a. Destroy hard copy after ascertaining that the reproduced **copies** have been made in accordance with GSA regulations and are adequate substitutes for the paper records. b. Destroy the microfiche when 6 years old.

214-04 Forms Management Control Files.

1. Record copy of each form created with related instructions and documentation showing inception, scope, and purpose of the form.

Disposition: Destroy 5 -years after related form is discontinued, superseded, or canceled (GRS 16, Item 3) (reference (p)) .

2. Background materials, requisitions, specifications, processing data, and control records.

Disposition: Destroy when related form is discontinued, superseded, or canceled.

2:14-05 Reports **Control** File-s-.

Case files maintained for each report created or "proposed, including public **use** reports. Included are clearance forms, including SF 83; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Disposition: Destroy 2 years after the report is discontinued (GRS 16, Item 6) (reference (p)) .

215 (Reserved).

216 Federal Voting

1. Documents prescribing the DoD policy in support of voting and establishing procedures.

Disposition: Permanent. Retire to the **WNRC** when superseded or obsolete.

2. Promotional material, posters, newscasts, press releases.

Disposition: Permanent. Retire to the **WNRC** when 3 years old.

3. Evaluation or procedures. Participation support reports from Military Departments.

Disposition: Permanent. Retire to the **WNRC** when 3 years old.

217 DEFENSE PROTECTIVE SERVICE

These are files that document police operations at Defense Protective Service offices. These are operational files and their use does not prevent the use of any other administrative, logistical, fiscal, or personnel file authorized elsewhere in this instruction (N1-330-88-2).

217-01 Staff Inspection Records. Records of staff, general, spot, special inspections, and guard contracts.

Disposition: Cut off annually, destroy after 2 years.

217-02 Line **Inspection Records**. Line and quarterly line inspections and completed checklists.

Disposition: Cut off annually, destroy after 1 year.

217-03 Field Office Inspections. Documents prepared by the staff inspector from surveys, inspections, or evaluations of DPS operations to promote coordination, detect problems, ensure compliance with operating procedures, policies, schedules, and orders. Included are the staff inspector's reports, area commanders' replies, and related reports. Inspection reports on contracts are excluded from this file.

Disposition: Cut off after completion of inspection; destroy after 2 years.

217-04 Safety Agreement Files. Documents on accident and fire prevention, disaster control, or civil defense. Included are proposals, coordination actions, copies of agreements, and related records.

Disposition: Cut off when superseded or terminated; destroy after 2 years.

217-05 Safety Meetings Files. Documents on accident and fire prevention meetings, protection meetings, or comparable group meetings.

Disposition: Cut off annually, destroy after 1 year.

217-06 Safety, Occupational Health, and Fire Prevention council files. Documents reflecting deliberations and activities of field office councils on safety, occupational health, and fire prevention. Included are listings of members, agenda, minutes, copies of program documents of schedules and related records.

Disposition: Cut off annually, destroy after 2 years.

217-07 Fire Report Files. Documents concerning fires on DoD-owned or leased premises, or other property for which the Department of Defense is accountable. Included are fire reports, investigative reports, ad hoc committee investigations of serious fires, and related records.

Disposition: Cut off annually, destroy after 3 years.

217-08 Accident and Fire Prevention promotion **files**. Documents resulting from efforts to stimulate supervisory and employee interest in accident and fire prevention. Included are charts, and other materials used in publicizing safety achievements and special events.

Disposition: ~~Cut~~ off annually, destroy after 2 years.

217-09 Disaster and Civil Defense Status Report Files. Reports and records showing the self-protection, shelter, stocking, radiological training, and preparedness of government buildings against enemy attack, natural disaster, and other emergencies.

Disposition: Cut off annually, destroy after 5 years.

217-10 **Security** Log Files. Logs kept when recorder tapes are changed, when used to record radio transmissions; records recording opening-and closing of secured cabinets and safes; log books containing **alarm** system codes for various buildings; and tapes maintained to provide a record of alarms and authorized entry into buildings after duty hours.

Disposition: a. Recording tape logs of radio transmissions: Cut off after 30 days, extract information needed for further reference, **re-record**, and destroy when no longer needed. b. **All** other logs: Cut off annually, destroy after 2 years.

217-11 Physical Security **Surveys**. Documents on the physical security hazards or deficiencies and recommendations for remedial action. Included are: survey reports, facility and occupant data, threats, and findings and recommendations.

Disposition: Destroy when superseded or obsolete.

217-12 Federal Radio Frequency Management Program. Documents on the policies, rules, and regulations governing the allocation of radio frequencies. These consist of the following files:

1. Frequency Assignment Subcommittee (**FAS**). Included

are applications for frequency assignments, modifications, corrections, and the 5-year review; regional requests for action; regional frequency authorizations; government master file; and administrative agenda and minutes.

2. Interdepartment Radio Advisory Committee. Included are National Telecommunications and Information Administration Manual and the weekly agenda and summary of minutes.

Disposition: Destroy when superseded or obsolete.

217-13 Telecommunications Program. These records consist of the **following** files:

1. Control Center. Documents on the design, installation, and maintenance of telecommunications equipment used in the zone, district, and regional control center.

2. National Crime and Information Center (**NCIC**). Documents such as the NCIC Operating Manual, Code Manual, Update, and Newsletter; control terminal officer assignments; and originating agency identifier applications.

3. National Law Enforcement Telecommunications Systems (**NLETS**). Documents such as the **NLETS Operating Manual**, Code Manual, Update, and Newsletter.

Disposition: Destroy when superseded or obsolete.

217-14 Occupant Letters Files. Letters from occupants of DoD or **leased** space that has a DPS protection and safety response. They contain correspondence on safety systems, crime, protection, parking, and related records.

Disposition: Cut off annually, destroy after **1** year.

217-15 Firearm and Badge Record Files. Card files of employees issued firearms and badges. This file is organized by employee name and serial number of equipment.

Disposition: Name: Destroy when employee leaves position and equipment is turned in. Serial Number: Update card as equipment **is** reassigned.

217-16 Assignment Record Files. Documents reflecting tour of duty schedule, days off, and **post** assignments for DPOS and contract guards. **Records include** forms **recording hours** of duty schedule and related documents.

Disposition: Cut off annually, destroy after 3 years.

217-17 Special Operating Procedures Files. Staff and **supervisory** Defense Protective **Service** Officers may issue their rules and regulations to Defense Protective Officers (**DPOs**) for guidance during the performance of individual duties.

Disposition: Destroy when superseded or obsolete.

217-18 Flag Records. Documents on regulations, proclamations and notices to fly the flag at half staff. Included are requests on the notification list, proclamations, and related records.

Disposition: Cut off annually, destroy after 1 year.

217-19 Record of Time of **Arrival and** Departure. Documents reflecting entry and exit from buildings (during security hours) files. Register used to record the time of arrival, departure, destination of personnel packages, visitors and vehicles entering or leaving premises. Included are forms recording times of arrivals and departures; these forms are also used by **supervisory DPOs** when conducting inspection. Forms used by contract guards should be filed under 217-26, Contract Guard Records.

Disposition: Cut off annually, destroy after 4 years.

217-20 Lost and Found Property Files. Documents on the reporting, receiving, accounting for and disposing of lost and found property.

Disposition: For found property, destroy cards and tags . when property is restored to its owner. All other records: Cut off annually, destroy after 3 years.

217-21 Physical Evidence Files. Documents on the presentation and accountability of physical evidence.

Disposition: Cut off when property is returned to owner or disposed of, destroy after 2 years.

217-22 Evidence Log Files. Log books or registers of physical evidence obtained during the investigation of crimes.

Disposition: Cut off when all property has been returned to owner or otherwise disposed of, then destroy after 2 years.

217-23 Report of Excess Personal Property Files. Included are forms used when accounting for the disposal of lost, abandoned, unclaimed, or excess Government or personal property.

Disposition: Cut off annually, destroy after 3 years.

217-24 DPO Equipment Record Files. Documents on each DPO for equipment and uniforms issued. Included are measurements, property receipts, and related records.

Disposition: Cut off when employee returns equipment, destroy after 6 months.

217-25 Defense Protective Officer Log Files. Included are:

1. Security Logs, which are records of notices to agencies on a security or energy violation found by DPS; e.g. , open safes, open security areas.

2. "Report **Logs**, or log books on the number assigned to reports written by DPS units.

3. Ticket Logs, or log books of traffic tickets issued.

4. Ticket **Log** on thefts, or log books on stop-theft tickets issued.

5. Mobile **Reports**, or forms used by DPS mobile units as checklists showing **the** times that a facility was checked.

6. Code 44, or records on transport of prisoners, bank escorts, etc.

7. Act ivity **Logs**, or **logs** documenting daily activities at guard posts.

8. Building logs, or monthly logs of daily activities within buildings; included are copies of activity log forms.

Disposition: cut off annually, destroy after 2 years.

217-26 Contract Guard Record Files. Records **dealing** with all aspects of DPS. Included is information on guards, **firearms**, qualifications training certification, sign- and -out sheets, technical manager and monitor inspections and related records.

Disposition: Cut off at expiration of contract, hold 1 year and **retire** to the **WNRC**; destroy when 6 years and 3 months old.

217-27 Special Protection Measures Files. Documents accumulated covering physical security measures planned and taken to protect Very Important Persons (VIPs) visiting DOD controlled facilities.

Disposition: Cut off annually, destroy after 2 years.

217-28 Crime Prevention Assessment Files. Documents accumulated from conduction assessments and inspections to evaluate physical protection services, facilities, equipment, and activities. Included are checklists, assessment forms and recommendations, reports, corrective and **followup** actions, and related records.

Disposition: Destroy when superseded or obsolete.

217-29 Crime Prevention Program Files. Correspondence forms from the Crime Prevention Unit. Included are questionnaires, bulletins, notices, and related records.

Disposition: Destroy when obsolete or no longer needed for "reference.

217-30 Law **Enforcement Agreement Files**. Copies of Agreements and related records on the relationships between, responsibilities of, and actions to be taken by protection officers, groups, and law enforcement officials.

Disposition: Cut off when agreement expires or is terminated, destroy after 2 years.

217-31 Reimbursable **Work Authorization Files**. Records included GSA Form 2957, "**Reimbursable Work Authorization**", from agencies to request that GSA perform work on a reimbursable basis. This form authorizes the work, controls the amount of work performed, and the dollar value. Included are backup **estimates** and requests for changes, bills, purchase orders, travel documents, and related records.

Disposition: Cut off annually or on completion of work; destroy after 1 year.

217-32 Staff Hours 'Distribution Files. Records of staff hours spent by craft employees on any activity or assignment. Included are daily time reports, time sheets, time summaries, and related records.

Disposition: Cut off annually, destroy after 1 year.

217-33 Training Record **Files**.

1. Documents on the continuing program of providing training for uniformed and other **DPS** personnel in the field including programmed training, sight and sound packages, and instructions by supervisory officers. Included are course curriculums, qualification records, schedules, rosters, training bulletins, and related records.

Disposition: Destroy 5 years after completion of specific

training program.

2. Training Administrative Data Base. This file consists of information derived from hard copy records authorized for destruction by NARA-approved SF 115s covered elsewhere in this section and is used solely for administrative purposes.

Disposition: Delete when no longer needed (GRS 23, Item 3) (reference (p)).

217-34 FPS Academy Records. Documents on training of students at FPS Academy. Included are curriculums, schedules, **rosters** testing records, attendance records, firearm training and certification, and **training aids**.

Disposition: Cut off annually, destroy after 5 years.

217-35 Firearms Files. Documents on firearms and firing ranges.

Disposition: Cut off annually, destroy after 2 years.

217-36 Incident Reporting and Investigative Case Files.
(N1-330-92-7)

1. Reports related to specific incidents concerning facility problems, property damage, fire drills, and similar matters **as** well as preliminary and other reports of criminal investigations maintained from the opening of a case until case closure. May include information on sources and evidence, information on non-criminal matters (such **as** internal affairs investigations, incidents where investigators and police officers are requested to assist the public in emergencies, etc.) , and **information** collected on the following Secretary of Defense (SD) forms (or their successors): SD 541 Complaint Record; SD 545 Incident Report; SD 545-1 **Interview** Sheet; SD 542 Accident Report; SD 550 Arrest Report; SD 547 Defendant/Suspect Statement; and all narrative information related to cases under investigation.

Disposition: a. Non-criminal activity reports. Place in inactive file upon case closure. Review files at least once a year and destroy all **files** closed for at least one year. b. Criminal activity reports. Cut off when case is closed and place in inactive file area for three years. Retire to the **WNRC** three years after cutoff; destroy 15 years after cut off.

2. Information on current and former applicants for the position of DPS officers.

Disposition: Destroy when 2 years old (GRS 1, Item 15)
(reference (p)).

3. Contingency planning and analysis files pertaining to regional, nationwide, and worldwide terrorist organizations and their potential effects on the security of DoD facilities. These files contain intelligence briefs; tactical, operational and strategical information reports; regional and nationwide contingency analyses; contingency action plans; and information on patterns and trends of potential or **actual** terrorists or terrorist groups and other activities that could disrupt the orderly operations of DoD-owned or -controlled facilities over which DPS has jurisdiction.

Disposition: Destroy when superseded, obsolete, or no longer needed. * -.